



OIL SPILLS FOSC FINANCIAL MANAGEMENT CHECKLIST

(For Coast Guard FOSC financial management ONLY; operational steps are NOT included)

When The Spill Occurs

☐ Does OSLTF apply? ____yes ____no

If you answer yes to both of these questions, OSLTF funding applies.

1. Was there a discharge of oil, or a substantial threat of a discharge of oil (i) into navigable waters; (ii) on the adjoining shorelines; (iii) into the waters of the exclusive economic zone; or (iv) it may affect natural resources under exclusive management authority of the United States?
2. Are further actions necessary to ensure effective and immediate removal, mitigation or prevention of the substantial threat?

☐ Collect incident information.

Name of incident: _____
Location (body of water, city, state): _____
Latitude and longitude: _____
Type of oil: _____
____ Visual Observation
____ Field testing
____ Lab analysis
____ Report by knowledgeable party
____ Other _____
Quantity of oil: _____
Description of substantial threat: _____
Potential quantity of total oil discharge: _____
Date of incident: _____
Date of discovery: _____



Collect source and responsible party (RP) information.

Vessel or facility name:	_____
How was source identified?	____ Visual Observation ____ Reported ____ Other _____
Who identified source?	_____
Responsible party (owner):	name _____ address _____ _____ SSN/TIN* _____ contact _____
Responsible party (operator):	name _____ address _____ _____ SSN/TIN* _____
Responsible party (other):	contact _____ name _____ address _____ SSN/TIN* _____
How was RP identified?	____ FOSC investigation ____ Report by RP ____ Report by third party
Who identified RP?	_____ _____

*Social Security Number/Tax Identification Number (SSN/TIN). The Data Collection Act requires USCG to obtain the SSN or TIN of the RP in order to pursue cost recovery.



☐ **Estimate the OSLTF funding ceiling required**

Estimated contractor costs: _____
Estimated FOSC personnel costs: _____
Estimated FOSC equipment costs: _____
Estimated TDY/travel costs: _____
Estimated miscellaneous costs: _____
Estimated OGA costs: _____
Estimated Reservist costs: _____
Total ceiling required: _____

☐ **Access CANAPS to request ceilings.**

Federal Project Number: _____
Authorized ceiling: _____
Funding citation(s): _____
CANAPS will issue record message traffic to appropriate units.

NOTE: If you are unable to access CANAPS or use any surrogate to access CANAPS or contact the NPFC Command Duty Officer, as the FOSC, you are authorized to obligate up to \$25,000 for response actions.

☐ **For NPFC assistance, contact your NPFC regional case manager.**

Gulf Coast and Midwest:	Team I	(202) 493-6723
Southeast (Philadelphia and South):	Team II	(202) 493-6726
West Coast, AK, HI:	Team III	(202) 493-6729
Northeast and Great Lakes:	Team IV	(202) 493-6732

On weekends, holidays, or after hours, you will hear recorded instructions for paging.

Assigned case officer: _____

If your regional manager is not available, page the duty case officer by calling (800) 759-7243, PIN 2073906, **OR** call the duty case officer through the CGHQ Command Center (202) 267-2100 or (800) 424-8802.



- ☐ **Locate the proper forms for ceiling management and for documenting all costs.**

In the *NPFC User Reference Guide*, turn to Chapter 3, Subtab Resource Documentation.

Ceiling Management Forms:

- _____ For a Level I spill (estimated ceiling under \$50,000), use **CG-5136 Series, Pollution Incident Daily Resource Report – Ceiling Management & Incident Obligation Log – Short Form**
- _____ For a Level II spill (estimated ceiling \$50,000-\$200,000) or Level III spill (over \$200,000), use **CG-5136F, Environmental Response Ceiling Management Form** to estimate and manage the ceiling. Record each activity as it occurs on **Daily Record Worksheets**

Daily Cost Documentation Forms (all levels):

- _____ Use the appropriate **Pollution Incident Daily Resource Reports**, (CG-5136 series) to consolidate daily totals.
- _____ Electronic version of CG-5136 series available on disk in Excel format from the NPFC.

- ☐ **Follow guidance in the *NPFC User Reference Guide* for use of funds and to arrange response actions. Contract through appropriate MLC (fcp) and use Pollution Removal Funding Authorizations (PRFA's) for other government agencies.**



During Cleanup - Every Day

☐ **Monitor contractors.**

- _____ Collect contractor **daily delivery tickets** and/or **Pollution Incident Daily Resource Reports**.
- _____ Date stamp all invoices upon receipt.
- _____ Within seven days of receipt of invoices, certify that work was performed as ordered. (As FOSC, you should not certify work that was not ordered.)
- _____ All invoices must be forwarded to arrive at MLC within 10 days of receipt.

☐ **Monitor Coast Guard units.**

- _____ Consolidate all daily reports for your unit onto the **Pollution Incident Daily Resource Reports**. This should cover all unit resources involved in removal activity.
- _____ Collect **Pollution Incident Daily Resource Reports** or official records (i.e., **aircraft utilization records** and **cutter navigation logs**) from other Coast Guard units.

☐ **Monitor other government agencies.**

- _____ Issue **Pollution Removal Funding Authorizations** (PRFAs) to other federal and state agencies participating in the FOSC-directed response. (See *NPFC User Reference Guide*, Chapter 3, Resource Documentation.)
- _____ Collect OGA (Other Government Agencies) **SF-1080** or **SF-1081** vouchers and supporting documentation in accordance with the PRFA. (See *NPFC User Reference Guide*, Chapter 3, Resource Documentation)
- _____ Review **SF-1080/1081** vouchers from OGAs and certify that work was performed as ordered.

☐ **Add up obligations and track them against the ceiling.**

- Use the **Ceiling Management** forms in the *NPFC User Reference Guide*, Chapter 3, Subtab Resource Documentation:
- _____ Include Type I Obligations: contracts, removal authorizations, travel orders, direct expenses.
 - _____ Include Type II Obligations: **anticipated costs (estimates)** of Coast Guard resources (personnel, vehicles, aircraft, boats, cutters, and Strike Team pollution equipment) based on Coast Guard Standard Rates (See *NPFC Reference Guide*, Section 3, Resource Documentation.)
 - _____ Make sure that each POLREP includes the total ceiling authorized and cumulative obligations to date. (NPFC should be an INFO ADDEE for all POLREPs.)

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If the ceiling must be increased, access CANAPS.

For example, if you have reached \$40K against a \$50K ceiling, and you expect the total costs to exceed \$50K, increase your ceiling to accommodate the anticipated needs of the response.

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Contact your NPFC case officer or the MLC contracting officer, as appropriate, any time you need assistance.



After The Response Action Is Completed

- ☐ **Certify contractor invoices within ten working days of receipt of invoices.**

Insure that all certification for receipt of services is in accordance with standard MLC and Finance Center procedures. (Contact appropriate MLC contracting officer if questions arise, or if invoice cannot be certified. The FOSC is certifying receipt of invoiced goods and services in quantities indicated. Costs are verified by the cognizant contracting officer.)

- ☐ **Forward certified contractor invoices to MLCLANT (fcp-2) or MLCPAC (fcp), as appropriate.**

- ☐ **Keep copies of all certified contractor invoices for the unit's files.**

- ☐ **Compile an inventory of all equipment purchases.**

- ☐ **Within 120 days of completion of cleanup, send the Financial Summary report to NPFC.**

See the *NPFC User Reference Guide*, Chapter 3, Subtab "Resource Documentation", for a description of the Financial Summary report, which includes:

- _____ Incident Report; FOSC Pollution Incident Daily Resource Reports; Contractor Invoices and Daily Resource Reports; Other Government Agencies Resource Documentation (SF-1080/1081 with invoices, Daily Resource Reports, Pollution Removal Funding Authorization); Out-of-Pocket expense; Inventory of Equipment Purchased.
- _____ If you are using Excel forms, DO NOT throw away the original handwritten invoices, dailies, and notes. In court, the Excel sheets may not be considered "original" documentation.

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